

MAR. 10. 2004 12:23PM

EDWARDS IRV DEPT 949 250 6850

NO. 2058 P. 1

Docket No. ECV-5589DIV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael Helmus et al.

Group Art Unit: 3738

Application No.: 10/700,958

Examiner: Not Assigned

Filing Date: October 31, 2003

For: BIOACTIVE COATINGS TO PREVENT TISSUE  
OVERGROWTH ON ARTIFICIAL HEART VALVES

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents

VIA FACSIMILE (703) 746-9195

P.O. Box 1450

Alexandria, VA 22313-1450

Attn: Office of Initial Patent Examination's Filing Receipt Corrections

Dear Sir:

Attached is a copy of the official filing receipt in connection with the above-identified patent application for which issuance of a corrected filing receipt is respectfully requested.

Please correct the Assignee as indicated below:

**Incorrect**

Edwards Lifesciences Corporation  
Baxter Healthcare Corporation

**Correct**

Edwards Lifesciences Corporation

Attached please find a copy of the Notice of Recordation and Assignment recorded in the parent application Serial No. 09/571,987. If any fees are deemed necessary, please charge our Deposit Account No. 50-1225 (Docket No. ECV-5589DIV). Should there be any questions with respect to the above-mentioned, please do not hesitate to contact the undersigned.

Date: March 10, 2004

Respectfully submitted,



Rajiv Yadav, Reg. No. 43,999

Edwards Lifesciences LLC

Law Department

One Edwards Way

Irvine, California 92614

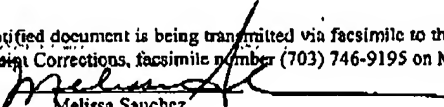
Telephone: (949) 250-6801

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CERTIFICATE OF FACSIMILE TRANSMISSION TO THE U.S. PATENT AND TRADEMARK OFFICE

I hereby certify under 37 CFR § 1.8 that the above-identified document is being transmitted via facsimile to the Commissioner of Patents, Attn: Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number (703) 746-9195 on March 10, 2004.

By:

  
Melissa Sanchez

1416v1



**Title**

Bioactive coatings to prevent tissue overgrowth on artificial heart valves

**Preliminary Class**

623

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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EDWARDS IRV DEPT 949 250 6850

NO. 2058 P. 4



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

FEBRUARY 21, 2001

PTAS



\*101549934A\*

EDWARDS LIFESCIENCES LLC  
DEBRA D. CONDINO  
ONE EDWARDS WAY  
LAW DEPARTMENT  
IRVINE, CALIFORNIA 92614

RECEIVED  
LAW DEPT.

MAR 01 2001

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

EDWARDS  
LIFESCIENCES

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/06/2000

REEL/FRAME: 011326/0421  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HELMUS, MICHAEL N.

DOC DATE: 10/12/2000

ASSIGNOR:

CUNANAN, CRYSTAL

DOC DATE: 10/20/2000

ASSIGNOR:

KAFESJIAN, RALPH

DOC DATE: 10/12/2000

ASSIGNOR:

TREMBLE, PATRICE

DOC DATE: 10/12/2000

ASSIGNEE:

EDWARDS LIFESCIENCES CORPORATION  
ONE EDWARDS WAY  
IRVINE, CALIFORNIA 92614

SERIAL NUMBER: 09571987

FILING DATE: 05/16/2000

PATENT NUMBER:

ISSUE DATE:

MAR. 10. 2004 12:24PM

EDWARDS IRV DEPT 949 250 6850

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011326/0421 PAGE 2

SAUNDRA BALLENGER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

MAR. 10. 2004 12:24PM

EDWARDS IRV DEPT 949 250 6850

NO. 2058 P. 6

Docket No.: ECV-5589

12-14-2000

REC'D



101549934

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

1. Name of Conveying Parties:

1. Michael N. Helmus, Executed on 10/12/00
2. Crystal Cunanan, Executed on 10/20/00
3. Ralph Kafesjian, Executed on 10/12/00
4. Patrice Tremble, Executed on 10/12/00

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

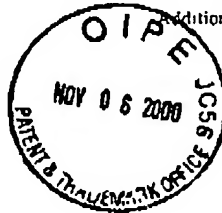
2. Name and Address of Receiving Party(ies):

Edwards Lifesciences Corporation  
One Edwards Way  
Irvine, CA 92614

Additional name(s) & address(es) attached? ☐ Yes ☐ No

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_



4. Applicant Number(s) or Patent Number(s):

If this document is being filed together with a new application, the execution date of the application is \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

09/571,987, Filed May 16, 2000

Additional numbers attached? ☐ Yes ☒ No

5. Name and Address of Party To Whom Correspondence Concerning Document Should Be Mailed:

Debra D. Condino  
EDWARDS LIFESCIENCES LLC  
Law Department  
One Edwards Way  
Irvine, California 92614

6. Total Number of Applications and Patents Involved: \_\_\_\_\_

7. Total Fee (37CFR 3.41).....\$40.00

☐ Enclosed

☒ Authorized To Be Charged To Deposit Account

8. Deposit Account Number: 501225(ECV-5589)

DO NOT USE THIS SPACE

9. Statement and Signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Guy L. Cumberbatch

Name of Person Signing and Reg. No.36,114

Guy Cumberbatch  
Signature

10/26/00  
Date

Total Number of Pages Including Coversheet, Attachments and Document: 3

s:\proforms2000\declarations & assignments\recordation sheet.doc

Docket No.: ECV-5589  
 Application No.: 09/571,987  
 Filed: May 16, 2000

**ASSIGNMENT**  
**(Joint Inventors)**

In consideration of one dollar (\$1.00) and other good and valuable considerations, the receipt and sufficiency whereof are hereby acknowledged, we hereby assign to EDWARDS LIFESCIENCES CORPORATION (hereinafter referred to as "assignee"), a corporation of Delaware, having a principal place of business at One Edwards Way, Irvine, California, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in our invention or improvements in BIOACTIVE COATINGS TO PREVENT TISSUE OVERGROWTH ON ARTIFICIAL HEART VALVES, and the application for Letters Patent of the United States therefor, executed by each of us individually on the date(s) indicated below and any and all other United States applications and applications in any and all countries which we may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States or of any other country which may be obtained on any of said applications, and in any reissue, reexam or extension thereof.

We hereby authorize and request the Commissioner of Patents to issue said Letters Patent to said EDWARDS LIFESCIENCES CORPORATION

We hereby authorize and request the attorneys of record in said application to insert in this Assignment the date and serial number of said application when officially known.

We warrant ourselves to be the owners of the interest herein assigned and to have the right to make this assignment; and further warrant that there are no outstanding prior assignments, licenses, or other rights in the interest herein assigned.

For said consideration we hereby agree, upon the request and at the expense of said assignee, its successors, legal representatives and assigns, to execute any and all divisional, continuation, and C-I-P applications for said invention or improvements, and any necessary oath or supplemental oath or affidavit relating thereto, and any application for the reissue, reexam or extension of any Letters Patent that may be granted upon said application that said assignee, its successors, legal representatives and assigns may deem necessary or expedient. For said consideration we further agree, upon the request of said assignee, its successors, legal representatives and assigns, in the event of said application or any division, continuation, or C-I-P thereof, or Letters Patent issued thereon, or any reexam, reissue or application for the reissue thereof becoming involved in interference, to cooperate to the best of our ability with said assignee, its successors, legal representatives and assigns in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof, we further agree to perform, upon such request, any and all affirmative acts to obtain Letters Patent, and vest all rights therein hereby conveyed in said assignee, its successors, legal representatives and assigns whereby said Letters Patent will be held and enjoyed by said assignee, its successors, legal representatives and assigns to the end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, and for said considerations we hereby also assign to said assignee, its successors, legal representatives and assigns the entire rights, title and interest in said invention or improvements for any and all foreign countries and the right of priority for patent and utility model applications in all countries arising under any applicable international convention for the protection of industrial property and/or any internal priority legislation of such countries, and we further agree upon the request of said assignee, its successors, legal representatives and assigns to execute any and all documents that shall be required to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said assignee.

Date 10/20/00 Signature [Signature]

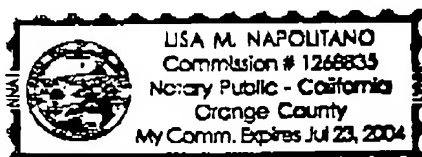
Typed Name: Michael N. Helmus

State of California, County of Orange

On Oct 12, 2000 before me, Lisa M. Napolitano Notary Public, personally appeared Michael N. Helmus, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

[Signature] (Seal)  
 Signature of Notary



Date 10/20/00 Signature [Signature]

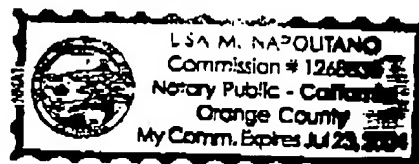
Typed Name: Crystal Cunanan

State of California, County of Orange

On Oct 20, 2000 before me, Lisa M. Napolitano Notary Public, personally appeared Crystal Cunanan, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

[Signature] (Seal)  
 Signature of Notary

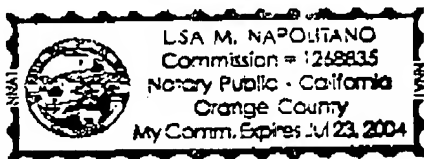


Date Oct 12, 2000 Signature Ralph Kafesjian  
Typed Name: Ralph Kafesjian  
State of California, County of Orange

On Oct 12, 2000 before me, Lisa M. Napolitano, Notary Public, personally appeared Ralph Kafesjian, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Lisa M. Napolitano (Seal)  
Signature of Notary

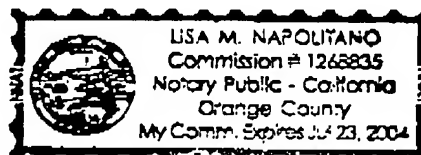


Date Oct 12, 2000 Signature Patrice Tremble  
Typed Name: Patrice Tremble  
State of California, County of Orange

On Oct 12, 2000 before me, Lisa M. Napolitano, Notary Public, personally appeared Patrice Tremble, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Lisa M. Napolitano (Seal)  
Signature of Notary



Date \_\_\_\_\_ Signature \_\_\_\_\_

Typed Name \_\_\_\_\_

State of \_\_\_\_\_, County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared \_\_\_\_\_, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary (Seal)